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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Sun et al.

Serial No.: 10/726,130

Filed: 12/1/2003

Title: APPARATUS AND METHOD FOR  
USE IN FULFILLING  
ILLUMINATION PRESCRIPTION

Group Art Unit:

2873

Examiner: Sugarman

Attorney Docket No.: 3084.017

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:  
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(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☒ Applicant(s) submit herewith Form PTO/SB/08A Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The items listed on PTO/SB/08A are either in the English language or an English translation is provided, therefore, no further explanation is required, with the exception of the following non-English reference. A concise explanation, as presently understood, is as follows:

ES 2142752 appears to describe an axisymmetrical aspherical lens for coupling of four normal congruencies of rays, two by two. It is composed of two focusing asphericals without revolution symmetry that transform two normal congruencies of rays.

Applicant submits that the above references taken alone or in combination neither anticipates nor renders obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

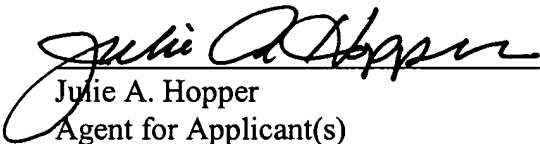
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SINSHEIMER, SCHIEBELHUT &  
BAGGETT

Date of Deposit: October 20, 2004

Typed Name: Julie A. Hopper

Signature: 

  
Julie A. Hopper  
Agent for Applicant(s)  
Reg. No. 50869

Date: October 20, 2004

Telephone No.: (805) 781-2824



PTO/SB/21 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	10/726,130
		Filing Date	Dec 1, 2003
		First Named Inventor	Sun, Yupin
		Art Unit	2873
		Examiner Name	Sugaman
Total Number of Pages in This Submission	4*	Attorney Docket Number	3084.017

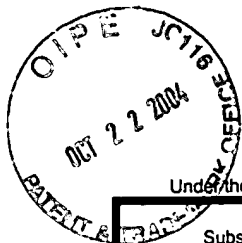
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<b>Remarks</b> *Exclusive of copies of patent applications, foreign patent, and publications.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	SINSHEIMER, SCHIEBELHUT & BAGGETT Julie A. Hopper (Reg. No. 50869)
Signature	
Date	October 20, 2004

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/726,130
				Filing Date	12/1/2003
				First Named Inventor	Sun et al.
				Art Unit	2873
				Examiner Name	Sugaman
Sheet	1	of	1	Attorney Docket Number	3084.017

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		USSN 10/903,925	07-29-2004	Falcoff	
		USSN 10/901,919	07-28-2004	Benitez	
		USSN 10/851,471	05-21-2004	Benitez, et al	
		USSN 10/880,386	06-28-2004	Benitez, et al	
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		ES 2142752	12/01/2000	Universidad Politecnica de Madrid		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Benítez, P. "Chapter 6: The SMS design method in three dimensions", from <i>Conceptos avanzados de óptica anidóica: diseño y fabricación</i> , PhD dissertation, UPM, (1998).	
		Benitez, P.; Mohedano, R.; Minano, J. "Design in 3D geometry with the Simultaneous Multiple Surface design method of Nonimaging Optics" Instituto de Engnergia Solar, E.T.S.I. Telecomunicacion, Universidad Politecnica, 28040. Madrid, Spain. (July 1999).	
		International Search Report. PCT/US03/38240, July 26, 2004.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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